




## Standards For Success - Human Capital

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<p>Must Meet All Core Criteria:</p> <ul style="list-style-type: none"> <li>• Agency human capital strategy is aligned with mission, goals, and organizational objectives: 1) integrated into Budget and Strategic Plans; 2) consistent with OPM's human capital balanced scorecard (issued by December 1, 2001); and 3) complies with standards for internal accountability systems to ensure effective merit-based HRM.</li> <li>• Agency has a citizen-centered organizational structure that is delayed and oriented toward performing the mission assigned to it.</li> <li>• Agency 1) sustains high-performing workforce that is continually improving in productivity; 2) strategically uses existing personnel flexibilities, tools, and technology; and 3) implements effective succession plans.</li> <li>• No skill gaps/deficiencies exist in mission critical occupations.</li> <li>• Agency differentiates between high and low performers through appropriate incentive and rewards.</li> <li>• Changes in agency workforce skill mix and organizational structure reflect increased emphasis on e-government and competitive sourcing.</li> </ul>	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Conditions:</p> <ul style="list-style-type: none"> <li>• Agency human capital strategy is not aligned to support the mission, goals, and organizational objectives: 1) not integrated into Budget and Strategic Plans; 2) not consistent with OPM's human capital balanced scorecard; and 3) does not comply with standards for internal accountability systems to ensure effective merit-based HRM.</li> <li>• Agency organizational structure is not citizen-centered and not delayed.</li> <li>• Agency does not 1) sustain a high-performing workforce that is continually improving in productivity; 2) strategically use existing personnel flexibilities, tools, and technology; and 3) implement succession plans.</li> <li>• Skill gaps/deficiencies exist across the agency or in mission critical occupations.</li> <li>• Agency fails to reward high performers and fails to address low performance.</li> <li>• Agency outsources without training and deploying adequate contract management staff, and/or without appropriate planning to accommodate displaced employees.</li> </ul>

## Standards for Success - Expanding E-Government

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<p>Must Meet All Core Criteria:</p> <ul style="list-style-type: none"> <li>• Strategic Value: all major systems investments have a business case submitted that meets the requirements of OMB Circular A-11 (Exhibit 53, Form 300).</li> <li>• IT Program Performance: On average, all major IT projects operating within 90% of Form 300 cost, schedule, and performance targets.</li> </ul> <p>E-government and GPEA implementation: (must show department-wide progress or participation in multi-agency initiative in 3 areas)</p> <ul style="list-style-type: none"> <li>• Citizen one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers.</li> <li>• Minimize burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions.</li> <li>• Intergovernmental: Deploying E-grants or Geospatial Information one-stop.</li> <li>• Obtaining productivity improvements by implementing customer relationship management, supply chain management, enterprise resource management, or knowledge management best practices.</li> </ul>	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Conditions:</p> <ul style="list-style-type: none"> <li>• Less than 50% of major IT investments have a business case per OMB Circular A-11 (Exhibit 53, Form 300).</li> <li>• On average, all major IT projects operating at less than 70% of Form 300 cost, schedule and performance targets.</li> </ul> <p>Fulfills not more than one of the following:</p> <ul style="list-style-type: none"> <li>• Citizen one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers.</li> <li>• Minimize burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions.</li> <li>• Intergovernmental: Deploying E-grants or Geospatial Information one-stop.</li> <li>• Obtaining productivity improvements by implementing customer relationship management, supply chain management, enterprise resource management, or knowledge management best practices.</li> </ul>


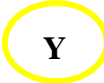

## Standards for Success - Competitive Sourcing

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<p>Must Meet All Core Criteria:</p> <ul style="list-style-type: none"><li>• Completed public-private or direct conversion competition on not less than 50 percent of the full-time equivalent employees listed on the approved FAIR Act inventories.</li><li>• Competitions and direct conversions conducted pursuant to approved competition plan.</li><li>• Commercial reimbursable support service arrangements between agencies are competed with the private sector on a recurring basis.</li></ul>	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Conditions:</p> <ul style="list-style-type: none"><li>• Completed public-private or direct conversion competition on less than 15 percent of the full-time equivalent employees listed on the approved FAIR Act inventories.</li><li>• Competitions and direct conversions are not conducted in accordance with approved competition plan.</li><li>• No commercial reimbursable support service arrangements between agencies are competed with the private sector.</li></ul>

## Standards for Success - Financial Management

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<p>Must Meet All Core Criteria:</p> <ul style="list-style-type: none"> <li>Financial management systems meet Federal financial management system requirements and applicable Federal accounting and transaction standards as reported by the agency head.</li> <li>Accurate and timely financial information.</li> <li>Integrated financial and performance management systems supporting day-to-day operations.</li> <li>Unqualified and timely audit opinion on the annual financial statements; no material internal control weaknesses reported by the auditors.</li> </ul>	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Conditions:</p> <ul style="list-style-type: none"> <li>Financial management systems fail to meet Federal financial management systems requirements and applicable Federal accounting standards as reported by the agency head.</li> <li>Chronic or significant Anti-deficiency Act violations.</li> <li>Agency head unable to provide unqualified assurance statement as to systems of management, accounting, and administrative controls.</li> <li>Auditors cite material non-compliance with laws and regulations, or repeat material internal control weaknesses; or are unable to express an opinion on the annual financial statements.</li> </ul>

## Standards for Success - Integrating Budget and Performance

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<p>Must meet all core criteria:</p> <ul style="list-style-type: none"> <li>• Integrated planning/evaluation and budget staff work with program managers to create an <u>integrated</u> plan/budget and to monitor and evaluate its implementation.</li> <li>• Streamlined, clear, integrated agency plan/budget sets forth outcome goals, output targets, and resources requested in context of past results.</li> <li>• Budget accounts, staff, and specifically program/activities are aligned to support achieving program targets.</li> <li>• Full budgetary cost is charged to mission accounts and activities. Cost of outputs and programs is integrated with performance in budget requests and execution.</li> <li>• Agency has documented program effectiveness. Analyses show how program outputs and policies affect desired outcomes. Agency systematically applies performance to budget and can demonstrate how program results inform budget decisions.</li> </ul>	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Criteria:</p> <ul style="list-style-type: none"> <li>• Planning and budgeting separate with little collaboration. Levels of organization have little and formal communication. Focus on getting funds for independent use.</li> <li>• Traditional budget request with little attempt to tie resources to results or communicate with other than budget technicians.</li> <li>• Excessive numbers of accounts, historical anomalies, accounts that fund illogical parts of programs. Centralized accounts that fund program resources; accounts that fund multiple programs with little in common.</li> <li>• No attention to charging cost to the right bureau, let alone the activity. Substantial costs “mixed up” at the agency or bureau level. Program managers lack authority over resources.</li> <li>• Focus on getting money for a good cause. Justification by anecdote. Little focus on outcomes, or how program influences them.</li> </ul>